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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Peter Szor

Assignee: Symantec Corporation

Title: KERNEL MODE OVERFLOW ATTACK PREVENTION SYSTEM AND  
METHOD

Serial No.: 10/781,207 Filed: February 17, 2004

Examiner: Van H. Nguyen Group Art 2194  
Unit:

Docket No.: SYMC1048

Monterey, CA  
August 27, 2007

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

08/31/2007 HLE333 00000034 10781207

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180.00 OP

INFORMATION DISCLOSURE STATEMENT  
UNDER §1.97(c) WITH FEE

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) wish to call the following documents (a copy of each non-US Patent document is enclosed) to the attention of the Examiner.

**U.S. PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	NAME
1)	2003/0014667	01/16/03	Kolichtchak

**OTHER DOCUMENTS**

1)	Finnegan, "Pop Open a Privileged Set of APIs with Windows NT Kernel Mode Drivers", <u>Microsoft Systems Journal</u> , Microsoft Corp., March 1998, pages 1-24 [online]. Retrieved on July 25, 2007 from the Internet: <URL: <a href="http://www.microsoft.com/MSJ/0398/driver.aspx">http://www.microsoft.com/MSJ/0398/driver.aspx</a> >.
2)	Vasudevan et al., "Cobra: Fine-grained Malware Analysis using Stealth Localized-executions", 2006, pages 1-15 [online]. Retrieved from the Internet: <URL: <a href="http://data.uta.edu/~ramesh/pubs/IEEE-Cobra.pdf">http://data.uta.edu/~ramesh/pubs/IEEE-Cobra.pdf</a> >

A PTO form 1449 listing these documents is enclosed.

Citation of the above documents shall not be construed as:

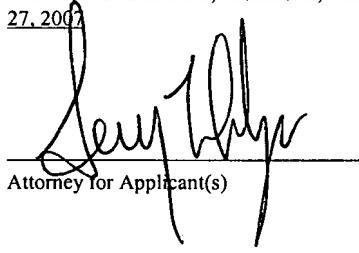
1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described above; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

Enclosed herewith is a check in the amount of \$180.00 payable to the Director of the United States Patent and Trademark Office, which is the amount for submission of an Information Disclosure Statement given in 37 C.F.R. § 1.17(p).

The Commissioner is hereby authorized to charge any additional fees, which may be required to consider this paper, or credit any overpayment to Deposit Account No. 50-0553.

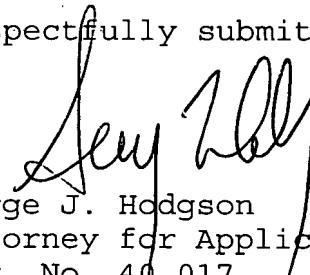
**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on August 27, 2007

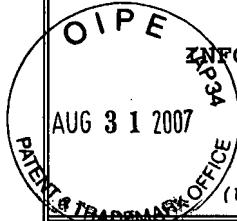
  
\_\_\_\_\_  
Attorney for Applicant(s)

August 27, 2007  
Date of Signature

Respectfully submitted,

  
\_\_\_\_\_  
Serge J. Hodgson  
Attorney for Applicant(s)  
Reg. No. 40,017  
(831) 655-0880

Form PTO-1449		Atty Docket No.	Serial No.
		SYMC1048	10/781,207
		Applicant(s)	
		Peter Szor	
		Filing Date	Group
		February 17, 2004	2194



INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION  
(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2003/0014667	01/16/03	Kolichtchak			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	YES	NO
	AL								
	AM								
	AN								
	AO								
	AP								

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AR	Finnegan, "Pop Open a Privileged Set of APIs with Windows NT Kernel Mode Drivers", <u>Microsoft Systems Journal</u> , Microsoft Corp., March 1998, pages 1-24 [online]. Retrieved on July 25, 2007 from the Internet: <URL: <a href="http://www.microsoft.com/MSJ/0398/driver.aspx">http://www.microsoft.com/MSJ/0398/driver.aspx</a> >.
AS	Vasudevan et al., "Cobra: Fine-grained Malware Analysis using Stealth Localized-executions", 2006, pages 1-15 [online]. Retrieved from the Internet: <URL: <a href="http://data.uta.edu/~ramesh/pubs/IEEE-Cobra.pdf">http://data.uta.edu/~ramesh/pubs/IEEE-Cobra.pdf</a> >
AT	

Examiner	Date Considered
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).